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On TRACK

Guidelines to Creating an

Employee Assistance Program

ARF Addiction Research Foundation
Fondation de la recherche sur la toxicomanie

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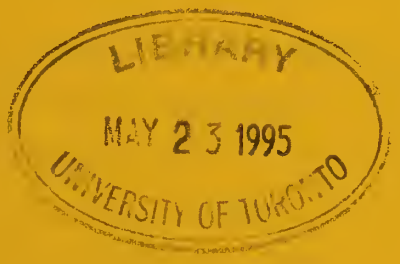

Introduction

Bill is coming in to work later and later — if he comes at all. It started a few months ago. He wouldn't show up for the Monday morning staff meeting. At first, his excuses sounded good: the car broke down, he had to drive his kid to a school event, he had a doctor's appointment. After a while, though, he stopped making excuses. Bill doesn't look well. He hardly comes out of his office. His co-workers don't know what's wrong. They do know that Bill isn't himself.

Deteriorating job performance often indicates an employee is experiencing problems in his or her personal life. Some employers have difficulty dealing with this situation. They believe their only option is to fire the troubled employee. But there's a better way — Employee Assistance Programs.

An Employee Assistance Program, or EAP for short, offers confidential professional help to employees whose problems are having an impact on their job performance — problems with drugs and alcohol, with relationships, with work-related stress, with finances, with anything that may cause personal distress.

EAPs are based on the belief that most problems can be resolved if the employee is willing to seek help, and if appropriate help is available through a workplace program.

With an EAP, everybody wins. Employees and their families have access to confidential counselling and referrals, to help them resolve their problems. Employers can benefit from improved productivity, reduced absenteeism and a healthier work environment. In fact, an EAP will help a workplace hold on to valuable employees and avoid the costs of turnover.

And, with an EAP, the responsibility for dealing with problems affecting an employee's personal life is not placed with the supervisor, but shared by the employee and an appropriate professional caregiver, with whom it belongs.

As well, EAPs can foster goodwill between management and employees. By supporting an EAP, management shows concern for its employees and a willingness to help those in trouble.

Likewise, labor shows its concern for the health, safety and quality of life of workers. EAPs complement traditional union support for members in the grievance and arbitration process.

The Addiction Research Foundation has offered advice and assistance on EAPs to worksites for more than 25 years. We've come to know what works and what doesn't in an EAP.

Four words describe our model EAP program: confidential, collaborative, fair and voluntary. Confidential and voluntary, so that employees feel comfortable using the program. Collaborative because the most successful programs are joint efforts of management and labor. And fair, because assistance is offered even in cases that involve disciplinary action.

This manual shows how your worksite can take the "On Track" to developing an Employee Assistance Program. It includes detailed guidelines on how to plan, implement and evaluate an EAP. We've included a variety of exercises that you may find helpful in building your EAP. In the Appendix, you'll find discussions on audits and related legal issues, as well as other reference materials.

If you would like information about resources to help develop or modify your EAP, contact the ARF for a copy of the *Resource Directory to EAP.* If you are considering a more comprehensive approach to employee health, including health promotion programs in addition to an EAP, consider the *Workplace Health System* materials, produced by the ARF and Health and Welfare Canada. See the back cover for a list of these documents.

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On TRACK

On Your Mark

Prepare

On Your Mark

Prepare

Step 1. **Obtain an OK or Formal Agreement to develop an EAP at your workplace.**

Employees won't "buy in" to an EAP unless they feel a sense of ownership of the program. So it's important that the initial decision to establish an EAP be a mutual one, shared by management and employee representatives.

In an "organized" workplace, senior management and senior union or association representatives give the OK to establish an EAP. In a non-organized workplace, the mandate should come from senior management in consultation with employee groups or representatives.

To establish an EAP at your worksite, you need to "sell" key personnel on the potential benefits. If there are EAP workshops in your area, encourage key personnel from management, human resources, occupational health, health and safety, union and employee associations to attend. If not, hold an event of your own using resource people from your community.

Discuss the benefits of an EAP, including

these key points. An EAP can:

- improve morale
- help retain valued workers
- make employees feel better about their workplace
- prevent or contain the development of performance problems
- reduce absenteeism among those who use the program
- help troubled employees improve job performance and retain their jobs
- reduce need for arbitration, saving time and money for both management and labor
- act as a safety valve to reduce employee stress resulting from organizational change
- prevent serious incidents through early intervention
- cut down on repeated employee grievances.

Management and employee representatives, for obvious reasons, have different interests and concerns when it comes to an EAP.

From a manager's point of view, an employee with a problem such as alcoholism may not be working to his or her potential. Research shows that troubled employees have higher absenteeism, more accidents causing damage to equipment and more personal accidents both on and off the job. As well, they have more sick days, more grievances and disciplinary actions, and lower productivity.

By providing assistance to troubled employees through an EAP, management contributes to a more productive, safe and cost-effective work force.

Likewise, employee representatives will be interested to learn that an EAP can enhance the traditional role of unions or associations in employee welfare. It can help to improve the overall health of members, reduce accidents and injuries to workers, reduce the need for grievances and help members retain their jobs. As well, an EAP can provide union or association representatives with a voluntary assistance option they can offer a fellow member who is experiencing problems.

Next, you should review the roles of management and employee representatives in developing an EAP.

ROLE OF SENIOR MANAGEMENT

- support the concept of EAP and work with employee representatives on an EAP committee to develop a program
- provide a public statement or workplace announcement of EAP plans
- endorse the written policy, when completed
- allocate financial resources to the EAP to cover the costs of meetings, education, training, and the provision of services as recommended by the EAP committee
- assign representatives to the EAP committee and provide adequate time for members to perform their EAP committee roles
- provide time for staff orientation to the program
- provide time for training and orientation for all managers, supervisors and union or association officials
- ensure full job and benefit protection for any employee using the program and provide adequate benefit coverage to achieve program goals
- review regular reports from the EAP committee.

ROLE OF EMPLOYEE REPRESENTATIVES

- formally endorse the written policy
- assign representatives to the EAP committee
- provide financial and moral support to employees who are interested in becoming Union Counsellors or referral agents
- ensure that the confidentiality of the program is maintained
- ensure job benefits and promotion opportunities are not affected by members' use of the program
- encourage the membership to use the program voluntarily if they have problems
- assist in publicizing and promoting the program
- ensure formal interviews are restricted to job performance concerns.

After reviewing the potential benefits of an EAP and the responsibilities of management and labor, it's time to turn your idea into reality.

Write a formal agreement to create an EAP in your workplace. In a unionized workplace, this can take the form of a letter of understanding, or a statement in a collective agreement. Announce your intentions in a letter to all employees. The letter should be signed by both management and employee representatives.

Step 2. Establish a Joint Committee

Once your workplace has granted formal approval to develop an EAP, you need to establish an EAP Committee. In a nutshell, your committee will be responsible for drafting EAP policy and procedures as well as overall program management, promotion, education and training and program evaluation.

The committee should represent both management and employees.

It should include a representative from your human resources or personnel department. The employee benefits manager may be appropriate, since this person is most familiar with the extended health coverage offered at your worksite. If your workplace does not have a human resources department, then the manager who is most responsible for staffing concerns should be on the committee.

Your EAP committee must represent different workplace groups: for example, your worksite's health and safety committee and occupational health services.

In organized worksites, the committee should be jointly sponsored by labor and management. If there are multiple unions or associations at your worksite, they should each be represented on the committee or at least share in the selection of committee representatives. Labor representatives on your committee must have the support of their union or association. They should be given a clear mandate to represent their local or plant.

In non-organized worksites, it is important that employee representatives on the committee are carefully chosen, to avoid the impression of management control. Employees must feel that their best interests are being served by the committee.

If your committee plans to develop an EAP by consensus, rather than by majority rule, you don't have to have identical numbers of management and employee representatives.

(The ARF strongly recommends the joint

management/labor EAP model. However, if an EAP is sponsored solely by management or labor, efforts should still be made to consult with the other side. Programs are most successful when both management and employees have had a hand in creating them.)

We recommend that your committee choose its own chairperson. This individual should be seen as non-partisan. He or she should be respected in the workplace, show leadership and be able to devote sufficent time to the EAP — to organize and lead meetings, and to delegate tasks.

We also recommend you appoint an EAP Coordinator. Depending on the size of your worksite, this could be a full-time position or a responsibility added to the job description of an EAP Committee member. We discuss the responsibilities of the EAP Coordinator later.

Your committee must be efficient. Keep the group to a workable size. Most committees have six to eight members.

The selection of committee members is crucial. Members should be willing to help other employees, to learn about all aspects of an EAP, and to place program objectives above personal ambitions. They should be given time during work hours to devote to their EAP Committee roles.

Your EAP Committee's first task is to create its own terms of reference. It's important that all committee members agree on the purpose of the committee right from the start.

Here is a sample list of EAP Committee responsibilities, which will be described in detail in this manual:

- ensure that the committee represents all workplace sectors
- determine worksite needs and priorities
- develop an EAP policy proposal
- investigate community resources and determine the availability, range and cost of services
- interpret program policy, responsibilities and procedures to employee and management representatives, referral agents, community agencies and others
- develop procedures for the use of your EAP services
- obtain adequate resources — money, materials, time — to ensure the program's success
- select service providers
- prepare promotional materials and hold orientation sessions for senior management and labor, employees and their families
- develop a training package for supervisors and employee representatives, referral agents, union counsellors, occupational health staff and others
- develop a monitoring and evaluation system to keep the program responsive to workplace needs
- support confidentiality by monitoring all procedures and immediately address any breaches in confidentiality
- schedule regular committee meetings
- prepare reports, at least once a year, on EAP activity for management, labor and all employees.

Committee members may have varying perspectives on an EAP, so it's helpful to build consensus through a group exercise.

Use Exercise #1 on page 1.7 as a guide to creating your terms of reference. Photocopy the exercise so that each member can participate.

Step 3. Share Your Ideas

Communication is essential to a successful EAP.

As you develop your EAP, you should get as much input from employees as possible, through surveys, focus groups and other methods. (Consider the language needs of your employees.) At the same time, you must share your ideas about the EAP with staff, and keep them up to date on the progress of your program.

An employee survey is a good way to identify needs — *before* you begin to develop your EAP. By surveying employees, you can familiarize them with the concept of an EAP and you can tailor your EAP to their needs.

At the end of this section, we include a sample survey for your committee to review. Use it 'as is' or modify it to suit your workplace.

Make sure employees are informed in advance about the purpose of the survey, and provide a covering letter along with the survey.

You can get a better response rate to your surveys if they are conducted by an outside party. Worksites who wish to use a professionally designed and analyzed survey can contact the Addiction Research Foundation's Programs and Services Evaluation Research (PASER) Centre in London, Ontario. PASER's phone number is (519) 858-5000.

If you choose not to conduct a survey, you can consider interviews with key employees. Select employees who are credible in the eyes of fellow employees and can speak on behalf of their co-workers. Use the sample survey as a rough guide for your discussions.

(If you are upgrading an existing EAP, consider conducting a survey to evaluate your program. Are the current employees aware of the EAP? If so, how did they hear about it? Would they recommend it to a friend or use it themselves? Would they want internal or external counselling services? See the Appendix for a sample survey.)

Focus groups are another good way to determine employee needs and priorities. And they can often help to clarify the needs of special interest groups at your worksite.

Invite seven to 10 employees to each group. Select a focus group leader who can encourage discussion. (You may need to recruit this person from outside the workplace.) Keep discussions relaxed and informal. Ask participants to share their ideas about EAPs.

To learn more about focus groups, you can contact your local community college, Social Planning Council, United Way or EAP Council.

As you begin to receive input on program needs, remember to share your ideas with senior management and employee representatives. You should also communicate regularly with all employees and with special interest groups such as health and safety, occupational health and your local EAP Council.

Don't wait until your EAP is complete to let others in on your plans. You will need their support to get your program off the ground. Employees may have heard rumors and have misconceptions about your plans. If you keep them posted as you develop the program, there will be no surprises.

If your workplace has a staff newsletter, write articles explaining what an EAP is and how

yours is being developed. Post notices to alert staff to EAP meetings. Send out information memos. Show EAP films at lunch hour or at safety meetings. Make announcements at department or other staff meetings. You may be able to get coverage in local media if this is appropriate to your worksite.

If you consult with EAP professionals during your initial planning stage, you should consider introducing them to key people at your workplace. This helps to spread the word that you are planning an important program.

Through regular communication, you can keep the spotlight on your EAP and help to ensure support when it is ready to be launched.

On TRACK

Exercise #1
Committee Responsibilities

Your EAP committee must agree on its responsibilities. Each member of your group should complete this checklist. First, place a check mark in the left column (Committee Role) for each item you feel should be an EAP committee responsibility. Then rank the responsibilities you have checked by assigning a number in the right column (Rank) indicating their importance. Rank the most important function number 1, the next 2 and so on. Feel free to add committee responsibilities not included on this list. After each committee member has completed the checklist, discuss your priorities and then reach a consensus on a final group checklist.

	Committee Role	Rank
Draft the policy and procedures statements		
Gather statistics on types of employee problems		
Promote the program to employees		
Design EAP training for supervisors		
Design EAP training for employee representatives		
Create a list of community resources		
Plan for follow-up to treatment		
Monitor the program for improvement		
Consult with key personnel regarding use of program		
Prepare periodic reports on the program		
Recommend appropriate assessment services		
Recommend changes to the program		
Ensure confidentiality for program users		
Recommend either on-site or off-site EAP services		
Select an EAP Co-ordinator		
Set criteria for referral agent selection		
Clarify benefits available to employees		
Other		

Sample Survey Cover Letter

A committee of employee and management representatives has been formed to explore the need for an Employee Assistance Program (EAP) at (name of workplace).

An EAP offers confidential assistance to employees who are experiencing problems in their personal lives — such as problems with relationships, with work-related stress, with substance use.

Our committee is interested in the views of employees on what type of EAP would be most useful.

Attached is a survey that asks your opinion on a number of topics. We've included space for your comments and concerns.

This questionnaire is anonymous. Please do not write your name on the questionnaire.

You may choose to complete this questionnnaire during work hours, if possible, or on your own time. You may wish to discuss some of the questions with family members.

Place your completed questionnaire in the attached envelope, seal and drop off in the specially-marked container in your department.

Thank you for your cooperation. The information from this questionnaire will help us plan an EAP that meets the needs of our workplace. The committee will circulate the overall results of the survey to staff.

Sincerely,
(EAP committee members)

On TRACK

Sample
Employee EAP Needs Questionnaire

This Questionnaire seeks to obtain your opinions and suggestions about your desire to have an EAP (Employee Assistance Program) at our worksite and the type of EAP that might be most valuable to all employees.

1. Before this Survey, had you ever heard of "Employee Assistance Programs" or "EAPs"? (circle number of best answer)

   Yes.....1
   No.....2
   Uncertain.....3

2. In your opinion, would an EAP be good for employees at our worksite? (circle number of best answer)

   Yes.....1
   No.....2
   Uncertain.....3

3. In your opinion, are there employees at our worksite who could benefit from an EAP? (circle number of best answer)

   Yes.....1
   No.....2
   Uncertain.....3

4. Please rate 1, 2 or 3, all the following services:
   (1) for most needed by employees
   (2) for moderately needed
   (3) not really needed by employees.

   ( ) Marriage Counselling
   ( ) Family Counselling
   ( ) Alcohol Abuse Counselling
   ( ) Drug Abuse Counselling
   ( ) On-the-job "Stress Problems" Counselling
   ( ) At home "Stress Problems" Counselling
   ( ) Depression Counselling
   ( ) Legal Counselling
   ( ) Financial Counselling
   ( ) Bereavement Counselling
   ( ) Pre-retirement 'Stress Problems' Counselling
   ( ) Other (specify)_____

5. We would like your opinions about any concerns you might have about such a program. Please CIRCLE the number (for each question) that best indicates your degree of agreement or disagreement with the statements on the following page:

	Strongly Disagree	*Disagree*	*Don't Know*	*Agree*	*Strongly Agree*
a. I would be worried about EAP because others might find out I have a personal problem.	1	2	3	4	5
b. I would be worried that use of the EAP might affect my job security.	1	2	3	4	5
c. EAP counsellors should not report any confidential information to the workplace.	1	2	3	4	5
d. A joint union-management EAP committee will help ensure program credibility.	1	2	3	4	5
e. I would be worried about the cost to employees.	1	2	3	4	5
f. I would be concerned about the counsellors' qualifications.	1	2	3	4	5
g. I would be concerned about the location of EAP services.	1	2	3	4	5
h. Appointments should be available in evenings and/or weekends.	1	2	3	4	5

6. If you had a personal problem would you use the EAP? (circle number of best answer)

   Yes.....1 No.....2 Uncertain.....3

   If NO, or UNCERTAIN, why? _____

   _____

   _____

7. If you have other comments on the issues related to Employee Assistance Programs, please note them in the space provided below (include language requirements, if other than English):

   _____

   _____

   _____

   _____

   _____

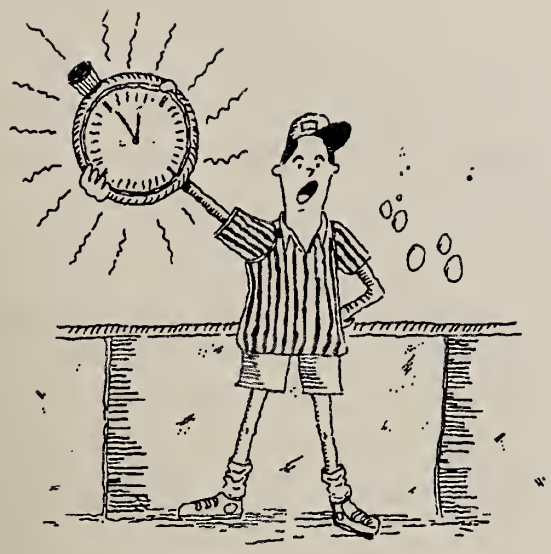
REMEMBER: DO NOT PLACE YOUR NAME ON THIS QUESTIONNAIRE

Thank you for helping our efforts to develop an EAP for employees at _____. The data will be reviewed and the committee will address your concerns in preparing our policy.

On TRACK

Get Set

Plan



Get Set

Plan

***Step 4.* Determine the Focus of Your EAP**

EAPs come in different shapes and sizes. It's important to choose the most appropriate options to meet the needs of your workforce, given the resources available to you.

The ARF recommends that your program have as broad a focus as possible. The chart on the next page lists six basic program categories, each with corresponding options you can consider in developing your EAP. You need to select at least one option from each of the six categories. In some cases, you may wish to combine several options in a category.

The key to establishing a good EAP is to develop one that fits the needs and expectations of your workplace. You have already received input from your staff. You should also check with your human resources and occupational health units, to find out how they view workplace needs. Publications or newsletters that cover your industry or work sector may contain helpful information about EAPs.

Category	Options		
Focus of Program	Substance Abuse	All Personal Problems	Comprehensive Health Promotion and Assistance
Program Access	Voluntary self-referral	At suggestion of peer or supervisor	Formal referral by supervisor
Eligibility	Employees	Families	Retirees
Location of services	On-site	Off-site (single location)	Off-site (multiple locations)
Type of Staff	Volunteer (peers)	Professional (internal)	Professional (external)
Range of Services	Assessment/ Referral	Short-term Counselling	Case management/ Aftercare

Your committee must now consolidate this information and identify the type of EAP most appropriate for your workplace.

Your committee members may be divided in their priorities. It is important to recognize the range of ideas that exist on your committee before attempting to reach a decision.

Here are a number of topics your committee should discuss in determining the shape of your program.

SERVICE PROVIDERS

Review the strengths and weaknesses of internal and external EAP services, taking into account the needs of your workplace.

Internal or "on-site" EAPs are provided by persons employed at your workplace. Advantages include direct and easy access to referrals and counselling; closer communication between workplace and the EAP; personnel familiar with your work environment; visible support from your organization; and easy program monitoring. There are several disadvantages, however. Employees worry about program confidentiality, and therefore are less likely to seek help through an internal EAP. A single counsellor may not be able to meet diverse needs or devote sufficient time to employees.

External or "off-site" services are provided by outside professionals, including community agencies and private companies, under contract to your workplace. External services offer greater

privacy and confidentiality, because of their arms-length relationship with the workplace. That is why they tend to have more voluntary users. They are preferred by both employees and family members. Other advantages include multi-disciplinary staff, a broader range of resources and consistent quality of service. As well, external services can offer several locations and are practical for both small and large worksites. Disadvantages of external EAPs include less familiarity with the work environment, less advocacy for clients and, in some cases, higher cost.

Many EAPs include both on-site and off-site components.

On-site services must allow for privacy. For example, they should be located where an employee's presence would not give away the fact that he or she is using the EAP. Off-site services should schedule appointments so that co-workers don't meet each other in hallways or waiting rooms while seeking help.

REFERRAL FUNCTIONS

You must decide how employees will be referred to your EAP.

1. Voluntary self-referral means an employee can access the program at his or her own initiative. This referral mechanism can often help employees deal with personal problems before those problems get worse and affect job performance.
2. A co-worker or supervisor who believes an employee has a problem can suggest that the employee contact the EAP. These "suggested self-referrals" are informal.
3. A formal management referral is generally used when an employee's problem is having an impact on his or her job performance. The supervisor records the formal referral in the employee's record. The employee continues to be judged on work performance alone and it is the employee's decision whether to contact the EAP.

A complete EAP includes all three of these referral mechanisms.

PEER REFERRAL AGENTS

Peer referral is an internal EAP service. It uses volunteer employees as informal contacts for co-workers who are considering using the EAP. These peer referral "agents" are screened by the EAP committee and approved by union or employee representatives. We recommend they receive at least 30 hours of training for this role. Peer referral agents can function as part of an broader EAP team that includes professional internal staff or an external service provider.

ELIGIBILITY

Your committee needs to decide exactly whom should be covered by your EAP. We recommend you include part-time employees. This makes it easier to promote your EAP to everyone in the workplace. We also recommend that you include family members of eligible employees, since problems in the family affect all members. You must also decide whether EAP coverage will extend to contract and retired employees. Also, you may consider coverage for employees on long-term disability or Workers Compensation and employees who have been recently laid off. Many of these employees, because of stress they

have experienced, may benefit from EAP services. Your committee must weigh the costs and benefits of extending services to these groups.

ACCESS

Employees are more likely to use a program that's convenient to access. EAP services should be available during business hours and on one or two evenings a week. An early morning service once a week may be helpful. Many EAP providers also offer a round-the-clock emergency service. You also need to consider language needs of employees.

PROGRAM FUNCTIONS

Consider the different functions of your program and who will be responsible for them. Organizational functions include administration, communication, coordination, consultation, education, skill training, monitoring and evaluation. Program functions include assessment, referral, counselling, case management and aftercare.

Use Exercises #2 and #3 to reach a committee consensus on these and other aspects of your program. You may also find it useful to complete the checklist of EAP Components and Options included in the Appendix.

Step 5. Assess Resources

Take stock of the resources — both inside and outside your organization — that may be able to contribute to your program.

Your local Addiction Research Foundation office can provide resource materials and advice. The ARF publishes a free *Resource Directory to EAPs* that lists EAP providers, consultants and related services.

Your committee should decide whether to obtain the services of an outside consultant to help you develop your EAP. Your local ARF office or EAP Council can provide you with information on consulting services in your area.

Your EAP Council can put you in touch with other workplaces in your area that have EAPs. Invite local experts to make presentations to your committee.

Contact similar worksites that have EAPs. Talk to program representatives about the kind of programs they have and how they are working. Keep in mind, though, that you must build a program to suit the needs of your own worksite.

Contact your local community college or university — they may offer EAP courses or a certificate program.

Also, check your public library or University library for books, videos and other materials on Employee Assistance Programs.

Your local United Way may have a Labor Community Services Representative who can tell you about the Union Counsellor Program. Your community information centre has a directory of health and social services in your area.

At the same time, begin to assess the resources at your own workplace. Do you have professional counsellors or trainers on staff? Do you have volunteers who are interested in training as peer referral agents?

If you are considering contracting your EAP service to an external provider, first identify the services you will require. Then develop a Request for Proposal and send it to external providers who are interested in bidding on the contract. (This is the same process you would use to get an estimate for home renovations.) Obtain several proposals if possible.

Key areas in which to specify your preferences are:

- qualifications, licences and variety of counsellors
- range of services
- upper limits on service
- hours of service, including crisis interventions
- languages of services
- availability of case management for referrals to other services
- location of services
- procedures to protect confidentiality
- statistical information available
- procedures for an external audit
- liability protection
- financial stability
- references of service provider
- availability of education, training and consulting services
- assistance with brochures, flyers, and other promotional activities
- itemization of costs for various service components.

Finally, consider the costs of various services. What is a ball park figure for your EAP budget? What kinds of services can that money buy? The shape of your program will be determined in part by your budget.

Use Exercise #4 to identify resources associated with possible referral methods for your program.

Step 6. Develop your EAP policy and procedures

Your committee must develop a comprehensive policy and procedures that will serve the needs of your employees. This process usually takes four to six months.

You have already assessed the needs of employees and determined the priorities of your program. You should now be ready to consolidate this information in a policy statement and procedures manual.

Here are some issues to consider in developing your policy.

PRINCIPLES AND INTENT OF THE PROGRAM

Express the philosophy of your program, and your expectations for what it will accomplish.

COVERAGE

Specify who will be covered by your EAP. Does it apply to part-time or contract employees as well as full-time staff? Does it apply to family members of employees? Does it cover retirees, those on long-term disability or Workers' Compensation or employees who have been recently laid off?

Are there any potential problems the program will not cover? Any limits to coverage should be made clear to employees in advance.

PROGRAM UTILIZATION

State clearly how an employee will access the EAP. List telephone numbers to call, contact persons and location of services.

State the days and hours your EAP services will be available to employees. If employees are to access the EAP outside of working hours, then services need to be made available at those times.

State how the EAP will be funded. If there are costs associated with your EAP services, your policy should indicate how cost will be billed. Services are usually contracted for an annual fee — for which the service provider agrees to provide help for any employee who calls — to protect the confidentiality of individual users. Employee's names should not appear on any invoices sent to the employer.

CONFIDENTIALITY

Indicate what steps will be taken to preserve confidentiality of employees using the program. These include:

- ensuring that names do not appear on any communications from counsellors or referral agents to the worksite without the written permission of the employees involved
- scheduling appointments so that co-workers don't meet each other while using EAP services
- providing a list of all eligible employees to the service provider, so the provider does not need to contact the worksite to check eligibility.

State what type of information will be included in EAP reports from the service provider to the worksite. To ensure confidentiality, we recommend that the service provider submit only general statistics on program usage, including the number of people who used the program and the types of problems addressed. If the figures are broken down by departments or branches, statistics for small groups should be combined so that individuals can't be identified.

Indicate that there are some statutory limitations on the confidentiality of your EAP that apply to all helping services. For example, the law requires professionals to report cases of suspected child abuse. And any professional record can be subpoenaed by the court if it concerns a case before the court (see Legal Issues, Appendix).

State who will be responsible for preserving the confidentiality of EAP users. If there are internal professionals, peer referral agents or Union Counsellors at the workplace, they will have to take measures to preserve the confidentiality of those who contact them. The EAP committee should request a report as to how this will be done. If you are using an external service provider, you must establish procedures for communication between the provider and the workplace. Specify who will receive reports at the worksite and how the external provider will maintain EAP records. No personal information should be communicated without informed written consent by the employee.

REFERRALS

State how your program is accessed, including self-referrals, suggested referrals and formal referrals. Specify who can make a formal referral and under what circumstances.

ROLES AND RESPONSIBILITIES

Spell out the EAP responsibilities of all the key parties at the worksite. For example:

Employees

1. Participate in EAP education sessions.
2. Use the self-referral process before personal problems become chronic.
3. Maintain confidentiality of fellow employees using the EAP.

Managers/Department Heads

1. Support the EAP.
2. Participate in EAP training sessions.
3. Informally refer employees to EAP where appropriate.
4. Use the self-referral process before personal problems become chronic.
5. Make recommendations for program improvement to the EAP committee.
6. Know how to make a formal referral and how to communicate with Human Resources in such cases.

Human Resources

1. Ensure that all new employees are introduced to the EAP.
2. Ensure that there is consistency between Human Resources policies and EAP policies and procedures.
3. Educate supervisors on procedures for suggested and formal referrals to the EAP.
4. Maintain the confidentiality of employees using the EAP whose names come to your department as a result of any disciplinary actions.
5. Keep the EAP committee informed of all modifications to company policies, procedures and benefits.

Occupational Health Services

1. Provide information about the EAP and assist any employee requesting help in using the EAP.
2. Participate on the EAP committee as requested.
3. Report employee health needs or concerns to the EAP committee.
4. Preserve the confidentiality of any personal employee information disclosed or forwarded to Occupational Health Services from the EAP service provider.

EAP Committee Members

1. Attend meetings of the EAP committee.
2. Oversee the functioning of the EAP.
3. Work with Human Resources to introduce new employees to the EAP.
4. Arrange for ongoing promotion of the EAP.
5. Monitor and evaluate the effectiveness of the EAP.
6. Produce periodic reports on EAP activities.

EAP Coordinator

1. Administer and direct the program.
2. Maintain the confidential nature of EAP records.
3. Disseminate pertinent information about the EAP to all employees.
4. Develop and implement orientation and training seminars for all supervisory staff and union officers as to the use, application and benefits of the EAP.
5. Provide liaison between the EAP and community helping services, including any

service providers under contract.
6. Provide periodic reports to the EAP committee.

EAP Referral Agents (if applicable)
1. Complete training required by the EAP.
2. Be available to fellow employees to assist with referrals to EAP services.
3. Be prepared to meet employees off-site and outside of working hours, if requested, to protect confidentiality.
4. Protect the confidentiality of all employees who seek information or help from the EAP.
5. Update training on a regular basis as needed.

EAP Provider (if applicable)
1. Provide assessment and counselling services.
2. Maintain records regarding program utilization and provide summaries to the EAP committee.
3. Maintain confidentiality.

Your committee will find it helpful to review the policy statement suggestions and sample EAP policy in the Appendix. Use the critique sheet in Exercise #5 to assess strengths and weaknesses of these sample policies.

Step 7. Obtain Official Approval of Plans

Your program recommendations — outlined in your policy statement — should be presented for approval to both the senior management and employee representatives who originally gave your committee the mandate to proceed.

Once approved, your EAP policy should be listed with other company policies. If the EAP is mentioned in a collective agreement, we recommend you refer to it in principle only. It is best not to include detailed operating procedures in a policy, if they may be subject to change.

If you have followed all of the previous steps you should not have trouble getting your plan approved. If you have communicated your ideas to people at all levels of the organization and solicited their input, you should expect broad support.

Your only challenge should be to obtain sufficient budget to implement your recommendations. For example, there may be costs for committee meetings, materials, training of key staff and for contracting a service provider. This is where having a joint committee will strengthen your cause. Committee members can solicit support for your proposals from the different workplace sectors they represent and explore ways to cover EAP costs.

In presenting your proposals, don't make exaggerated claims for your EAP, but indicate clearly what you hope to accomplish. It should become clear to your senior management and employee representatives that your EAP plan is tailored to the needs of employees and will benefit the workplace.

Exercise #2
What is the scope of your EAP?

This exercise helps your committee to determine the nature and scope of your EAP. Each committee member should complete the checklist below. Place check marks to the left of all problem areas you feel should be served by your EAP. Feel free to add others that occur to you. Then rank the five most important issues to be covered by your program in the spaces to the right for both A and B sections.

Discuss your responses with the group. Then prepare a group checklist that indicates the priorities of your committee. This will be the basis of your report.

A. Assistance Issues	*Rank*
Problem Areas	
Alcoholism	_____
Child Care	_____
Drug Abuse	_____
Emotional	_____
Family	_____
Financial	_____
Grief	_____
Legal	_____
Marital	_____
Problem Drinking	_____
Relationships	_____
Sexual	_____
Spouse/Child Abuse	_____
Stress	_____
Work-related	_____
Other _____	_____

B. Health Promotion Issues	*Rank*
Health Practices	
Fitness	_____
Health Risks Education	_____
Nutrition	_____
Stress Management	_____
Alcohol/Drug Abuse	_____
Cardiovascular	_____
Smoking Cessation	_____
Back Care	_____
Environment	_____
Other _____	_____
Life Skills	
Communication	_____
Relationships	_____
Conflict Resolution	_____
Anger Management	_____
Other _____	_____

Exercise #3
What is the focus of your intervention?

Identify the stages of intervention that you think are appropriate for your EAP by placing a check mark to the left of each statement with which you agree. Then rank those that you have checked by placing numbers on the right, from No. 1 as most important to No. 10 as least important. Discuss your responses and try to arrive at a group consensus.

Stages of Intervention	*Rank*
Employee wants to improve health	_____
Employee wants to maintain health	_____
Employee has some awareness of problems	_____
Fellow workers notice employee's problems	_____
Occupational health staff notice employee's problems	_____
Union Steward notices employee's problems	_____
Supervisor notices employee's problems	_____
Supervisor disciplines employee for poor work	_____
Employee faces termination	_____
Employee seeks to be rehired after termination	_____
Other _____	_____

On TRACK

Exercise #4
What resources are required to provide access to the program?

EAPs can be accessed in a variety of ways, both internally and externally. Check each referral resource on the list below that you think should apply to your EAP, and rank these in order of preference. Complete the exercise individually and then as a group. Discuss costs associated with your choices.

Internal Resources for Referrals	*Rank*
Occupational Health Department	_____
EAP coordinator	_____
Counsellor	_____
Union counsellor	_____
Personnel or HR Department	_____
Alcoholics Anonymous members	_____
EAP Committee members	_____
Peer referral agents	_____
Education/training department	_____
Other _____	_____

External Resources for Referrals	*Rank*
Community information service	_____
Private EAP service contract	_____
Agency/hospital EAP service contract	_____
Local physician under contract	_____
Self-help groups	_____
Local hospital	_____
Mental health clinic	_____
Addiction assessment/referral	_____
Family Practise Clinic	_____
YMCA or fitness centres	_____
Public health unit	_____
Clinical Counsellor	_____
Family counsellor	_____
Other _____	_____

Exercise #5
Policy Critique Sheet

Use this exercise to critique an EAP policy. This critique sheet covers four different sections you might find in a policy and procedures manual. These sections may not always be separately labelled, so look closely for them. Under each section you will find a list of possible features to look for. If you find them present, use the scale below to rate how thoroughly and accurately they are covered, with 5 as the highest ranking. If a feature is NOT present, circle 0.

1. Introductory Statement of Principles:

Principles and intent of program	0	1	2	3	4	5
Treatability of most personal problems	0	1	2	3	4	5
Benefits and job protection	0	1	2	3	4	5
Confidentiality of program users	0	1	2	3	4	5
Union and management endorsement	0	1	2	3	4	5
Range of problems covered by program	0	1	2	3	4	5
Independence of assessment service	0	1	2	3	4	5

2. Procedures for:

Health education and/or promotion activities	0	1	2	3	4	5
Voluntary access to program	0	1	2	3	4	5
Informal referrals to program	0	1	2	3	4	5
Formal referrals to program	0	1	2	3	4	5
Record keeping	0	1	2	3	4	5

3. Roles and Responsibilities of:						
Management	0	1	2	3	4	5
Union	0	1	2	3	4	5
Supervisors	0	1	2	3	4	5
Stewards	0	1	2	3	4	5
Employees	0	1	2	3	4	5
EAP Committee	0	1	2	3	4	5
EAP Coordinator	0	1	2	3	4	5
Referral agents and/or union counsellors	0	1	2	3	4	5
Personnel Department	0	1	2	3	4	5
Occupational Health Unit	0	1	2	3	4	5
Assessment and Treatment Service	0	1	2	3	4	5
4. Responsibilities for:						
Orientation and training of supervisors and stewards	0	1	2	3	4	5
Publicizing program to all employees	0	1	2	3	4	5
Program monitoring and evaluation	0	1	2	3	4	5
Liaison with community resources	0	1	2	3	4	5
5. Overall Critique of Document:						
Clarity	0	1	2	3	4	5
Thoroughness	0	1	2	3	4	5
Style	0	1	2	3	4	5
Tone	0	1	2	3	4	5

Note: Review all items with scores of two or less. Consider how they could be improved.

Notes

On TRACK

Go...

Act

Go...

Act

Step 8. Launch and Promote Your EAP

Your plan has been approved and you're ready to launch your program.

First, make sure that all necessary components are in place and ready to go and that all employees with EAP roles have received training (see #10 Training). Then follow these steps:

- announce and endorse the EAP in an all-staff letter from senior management and employee representatives
- mail a letter to employee's homes, outlining the EAP (see sample attached)
- distribute information materials to staff that describe how to use the EAP (Consider brochures, posters, telephone stickers, wallet cards and pay cheque stuffers. Include contact names, addresses and telephone numbers.)
- place notices or posters at key locations in the workplace
- publish articles about your EAP in the workplace newsletter
- hold information sessions for all eligible

employees, providing an opportunity for them to ask questions and clarify their knowledge of the program

• distribute copies of your EAP policy to each department or cost centre (Most employees will not want to take the time to read the policy, but knowing it is accessible makes them feel more comfortable about the program.)

Ideally, your EAP has been developed with full support from both management and employee representatives. So, although you must be ready to "sell" your new program to staff, the concept of an EAP is already a known quantity.

In promoting the program, put yourself in the employees' shoes. You need to answer these questions:

• What services are available?
• Who can use the service?
• Where is the service located?
• When can I use the EAP?
• Who is the helper? What are his or her qualifications?
• What steps does one take to contact the service provider?
• What is the cost and who pays?
• What languages are services provided in?
• What is the effect on my career if I use this program?
• What about confidentiality and anonymity?

In explaining the program to employees, focus on its benefits and cover the important points of your policy.

If your organization has a public relations or creative department, ask them to assist with the promotional campaign. It may be valuable for a person from this department to join your EAP committee.

To identify your EAP, it helps to create a distinctive EAP logo that employees will recognize. Consider holding a contest in which you ask staff to come up with a name or a slogan that captures the spirit of your EAP. This will get employees involved in the launch, and give them a feeling of ownership of the EAP.

Step 9. Educate the Workforce About Your EAP

After the launch, your committee should develop a long-term plan to educate all employees and eligible participants about their EAP.

Your long-term employee awareness program can include a pay cheque notice, a poster campaign, a lunch-hour information table, presentations to employees, a description in the Employee Handbook, orientation for new staff, library displays and resources packages, and articles in the workplace newsletter.

Information sessions are an excellent way to inform employees about your new EAP. Try to keep the numbers below 50 to encourage questions and discussion. Explain why you developed the EAP, what benefits you expect from it and how employees can use it. Be sure to stress the program's confidentiality and how it will be protected. Explain how the program will be funded and what type of information about the EAP will be made public by the EAP committee.

These sessions are a great time to introduce EAP staff, volunteers and others who play a role in the program. Your presentation team should

include the EAP Coordinator, management and employee representatives, an EAP counsellor or referral agent and at least one member of your EAP committee. Human resources, occupational health and other staff should also be on hand.

Cover the following points:

- eligibility guidelines
- the types of problems covered
- the kinds of services available
- how the service is funded, including any cost to employees
- confidentiality and how it will be protected
- the difference between confidentiality and anonymity
- how to access the program
- the EAP referral process
- job protection features
- program neutrality with respect to employer/employee relations
- how the program is monitored and evaluated
- how to assist a co-worker.

You can use the attached outline as a guide for your awareness session.

Your committee should decide who will lead the session. Remember, it is as important to dispel any employee misconceptions about your EAP as it is to tell your story. Allow adequate time for employees to ask questions or make comments.

Your information sessions may not reach all employees. Consider providing staff who are on the road or who work at branch locations with a videotape or audio recording of an information session, including questions from your employees. A video or cassette, accompanied by a brochure, telephone sticker or wallet card, will help these employees feel a part of the EAP.

Check the *Resource Directory to EAP*, available from the ARF, for resources that may be useful in your presentation.

Step 10. Training

EAP education isn't just for the employee; it's also for supervisors, union or association representatives, and staff of health and safety committees and occupational health services.

They must learn how to recognize a troubled employee, how to intervene and conduct a constructive corrective interview and how to refer a troubled employee for assistance. In addition, supervisors need to know how to monitor and document work performance problems.

We recommend that referral agents, union counsellors, and occupational health staff be trained *before* your EAP is launched and promoted. Supervisors and union or association representatives should receive their special training as soon after the launch as possible.

Regardless of their content, the best training and education programs always have four basic qualities: they are educative, social, fun, and challenging. The success of your training and education programs has a direct bearing on the success of your new program.

There are some outside training sources you should consider. Union Counsellor training is available through the Labour Services representative at a number of United Way organizations across Ontario. Some university and community colleges provide this kind of

training through extension programs. And your local EAP Councils can provide information on the availability of training for your EAP. Check the ARF's *Resource Directory to EAP,* available from Addiction Research Foundation Area Offices and local EAP Councils.

Some worksites develop detailed training guidelines for supervisors, union representatives and referral agents, and employee health staff regarding their roles in the EAP.

At the end of this section there is a suggested EAP training outline and a sample small group exercise that may be useful to you in planning your program training needs.

Sample Letter to Employees

To: The employees of *(your workplace)* and their families

This letter introduces a new employee assistance program which is being fully provided by *(your workplace)*.

(Name of your EAP) recognizes that it is quite normal for people to encounter a wide range of personal or health problems at different stages in their careers. In our lives, our families sometimes must cope with problems such as marital or family stress, financial pressures, and substance abuse. We also recognize that these pressures can have a direct effect on an employee's well-being and productivity. It usually helps to get professional counselling and direction early — before a problem becomes unmanageable.

In an effort to be a progressive and understanding company, we will provide free, confidential counselling and referral services through *(name of service provider)*. All employees and members of their immediate families are eligible to use this confidential service.

If you or a member of your family contacts the assistance program, you can be assured of complete privacy. All voluntary communications will be kept in strictest confidence. *(The service provider)* will not divulge any information about individual cases to *(your workplace)*. The cost of this benefit is provided by *(your workplace)*. If further aid or treatment is recommended beyond counselling, the individual may have to assume these costs; however, many of the costs may be covered by your medical benefits package.

We strongly urge you and your family to read the attached brochure carefully. Do not hesitate to call if you have questions about the program, or if you need assistance. Often a discussion with an outside counsellor will prevent a situation from becoming worse.

Sincerely,
(Your workplace CEO and employee representative)

Sample Outline
Employee Awareness Session

Introduction — EAP Coordinator

Statement of EAP Policy — Senior Management, Senior Union (if applicable)

Process of EAP Development — EAP Committee member or Coordinator

Film or Video — *EAP At Your Service* or *A Phone Call Away*
(See *Resource Directory to EAP* for other suggestions)

Introduction of Contact Persons — Peer Referral Agents or Internal Counsellor or External Provider

Description of Helping Process — EAP Counsellor

Questions and Discussion — EAP Coordinator

Distribution of Relevant Literature

Sample EAP Training Agenda

Opening remarks and film

Program introduction and history
Organization of EAP
Type of problems encountered
Questions and answers

Types of problems in department
How problems show up
Discussion

Coffee Break

Employee problem areas
Small group exercise
Discussion

Lunch Break

Film, with discussion

The role of the supervisor and union/association representatives
Code of ethics for EAP staff and volunteers
Discussion

Coffee Break

Basic interviewing skills
Referrals
Follow-up techniques
Employee benefits
Questions and discussion

Summary and evaluation

Sample Small Group Exercise

We would like you to consider the following scenario, which could occur at any workplace.

A usually reliable employee is having marital problems. He has always been known as a social drinker, but in recent months, it has been noticed that his drinking has increased. Problems are beginning to occur in the workplace. They include lateness, absenteeism, irritability, forgetfulness and isolation from fellow workers.

Questions

1. What effect might this have on you personally and on your work if you were this employee's:

(a) peer co-worker
(b) supervisor
(c) union representative.

2. If you were the troubled employee, what would you expect from your:

(a) peer co-workers
(b) union representative
(c) supervisor.

3. What would be your responsibility if you were this employee's:

(a) peer co-worker
(b) union representative
(c) supervisor.

On TRACK

Keep Going...

Grow

Keep Going...

Grow

Step 11. Keep Your Program Visible

After its launch, your program will run for a while on the enthusiasm of committee members and awareness among employees. But don't let your EAP run out of steam: maintain awareness through ongoing promotional activities. Make a long-term plan of how you will promote the EAP at your worksite.

Think of your employee assistance program as a product of your company. Its consumers are your employees. Like all products, your program must be successfully marketed so that it is understood, accepted and used by the employees who need it.

Promoting and marketing your EAP is one of the responsibilities of your EAP committee.

How you "package" your program is as important to its success as a colorful box might be to a new cereal.

Your first move should be to develop a good working partnership with your company's communications department or the people responsible for employee communications.

Explain the objectives, services and mechanics of the EAP to them. Make sure they understand all aspects of the program. Similarly, learn all you can about their capabilities and services.

Once you are both acquainted, these staff can help you creatively communicate the program to employees. In other words, the communication staff can help design your "package".

Most companies have an employee newsletter or magazine. These internal media provide a good opportunity to publicize your program.

Start with an article introducing and explaining your EAP. If possible, ask a person from communications to interview appropriate contact persons and write the story. The article should cover the purpose of the EAP, its objectives, examples of personal problems the program staff are prepared to deal with, how to make appointments, and EAP staff qualifications. Most importantly, stress the program's confidentiality — the anchor of any EAP.

Consider additional articles on subjects such as alcoholism, problem drinking, drug abuse, depression, marital difficulties, family problems, financial setbacks, overeating or gambling.

Use a fresh perspective for your articles. For example, interview a local EAP professional. Instead of a general article on stress, ask the communications staff to interview several employees about how they deal with stress. An employee who has had — and resolved — a personal problem may be willing to speak about his or her experience.

Be as specific as possible, always emphasizing how the EAP can help employees get appropriate treatment.

Announce any changes to the program as news stories in your employee publication.

Don't overdo it. A carefully planned timetable of articles, accompanied by a judicious use of other tools, is the best approach. What you will gain is an even more credible, better understood and widely-used employee assistance program. Your efforts will pay off in ways that benefit the program, the company, and its employees.

The communications staff can also produce any special publications that might be required to help you promote your program: for example, a brochure that describes the EAP. You can use a brochure in a number of ways: mail it to employees' homes, use it in displays or pamphlet racks, hand it out in meetings or give it to individual employees.

Consider audiovisual resources. If you are involved in any training function or need to present information on your EAP at company meetings, you will definitely want to consider using audiovisuals: slide shows, films or videotape. The communications staff can help write the script, prepare the visuals and direct the overall production. If your workplace does not have these resources, you may be able to borrow them or to get help from a local college.

You may consider targeting your promotion to various employee groups, based on results from your program evaluation. If use of the program is low in some departments or employee groups (that is, below four per cent of employees per year) concentrate your promotion efforts there. If program use is even across the

organization, then focus your promotional activities on all employees.

Promote your program through workshops and other information sessions. Here are some guidelines for developing an EAP workshop.

STRIKE A SUBCOMMITTEE

Strike a small subcommittee to work on mounting your educational session. The subcommittee should select its own chairperson. Include members of your EAP committee as well as interested individuals from your worksite. The chairperson has the responsibility to delegate specific jobs and tasks according to committee members' interests, time and strengths.

IDENTIFY YOUR TOPIC

Consider what topics are relevant and of interest to your worksite. You must take care to choose topics that focus on general areas of interest rather than specific problems, since employees tend to "identify" with a topic. For example, a session titled "Relationships" is less threatening than "Single parent problems."

Local community agencies such as the Heart and Stroke Foundation, Canadian Cancer Society, and the Lung Association are often quite pleased to present to worksites. Depending upon the presenter's efforts and your budget, you may be able to pay your presenter. If you can't, a small honorarium serves as a token of appreciation. Have your speaker fill out the speaker registration form included at the end of this section.

TIME-LINE — SELECTING YOUR DATE

Give yourself enough time to mount a successful workshop. Depending on your resources, a minimum amount of lead time is two months. Make sure the dates of your sessions don't coincide with other worksite initiatives. If you have a Training Officer, he or she might help you with this. Book a suitable facility and arrange for audiovisual equipment.

MARKETING — MAILING

Someone at your worksite may have a master list of employee names and addresses. Try to make use of these labels. The University of Waterloo has devised a system in which each employee receives an individual card itemizing the date, location, and time of the event. Book a suitable room for your event. Estimate what you might expect in terms of attendance. RSVPs are helpful but labor-intensive.

To save money, you could piggy-back your mailing with an existing mailing. You can also make each member of your committee responsible for marketing your event to his or her workplace group.

TAPING

You may decide to tape the presentation for future reference so that you will have a permanent record of your effort. Check with your presenter in advance.

EVALUATION

It is important to evaluate the presentation. Make certain that the evaluation form is concise and simple yet specific to the presenter and ensure that you provide feedback to the presenter. Ask

the audience for ideas for future presentations. Give the audience five minutes to fill out the form and collect it on site. A sample evaluation form is included in the Appendix.

Step 12. Collect Statistical Data

EAPs are not static. They must be responsive to the needs of the workplace. That's why you will need to monitor your program once it is in place. Your committee must determine what kinds of information you require to review your program, who needs to see that information, how it will be used, and how you will ensure the confidentiality of program users.

Specifically, your committee will need to monitor:

- the annual number of referrals to your EAP in terms of new referrals, repeats and continuing cases
- the types of problems for which employees use the program
- employee awareness of your EAP
- benefits derived from use of your EAP
- how users regard the services being provided.

Before you decide what type of monitoring program you will establish, discuss these issues:

HOW CONFIDENTIALITY CAN BEST BE MAINTAINED

All personal information about clients using the EAP should be kept in separate confidential files. The service provider can consider using numbers rather than names on EAP files. Access should be limited to designated EAP staff. If files are on computer, passwords should be used to limit access. Closed files should be destroyed after an agreed period of time to prevent their being misplaced.

CONTROL OF THE INFORMATION

It is important that data concerning individual cases not be available to persons at the worksite who may have an influence on career advancement.

HOW THE INFORMATION IS TO BE TABULATED AND PRESENTED

Statistics should be grouped in such a way that no employee could be identified.

BASIC INFORMATION SYSTEMS THAT NEED TO BE IN PLACE BEFORE PROGRAM IMPLEMENTATION

At minimum, you will need a client intake information form, to be used by the service provider, as well as a quarterly report form on your program use. Other forms can be designed to meet your needs. (Sample evaluation forms are included in the Appendix.) If you wish to measure changes in overall performance that may be due to your EAP, you will need to find out which performance indicators are now being recorded and could be available to your committee without breaching confidentiality.

EXPECTATIONS OF THE EAP COORDINATOR AND COMMITTEE REGARDING DATA COLLECTION AND PRESENTATION ONCE THE EAP IS OPERATIONAL

It should be clear when reports are due and to whom they should be given.

FACETS OF THE EAP THAT ARE NOT BEING ADDRESSED

Your utilization report may be able to indicate to your committee whether some sectors or functions are not being served.

EXPECTATIONS OF EMPLOYEES, LABOR AND MANAGEMENT REGARDING PROGRAM OUTCOME AND EVALUATION

Your committee must reach a common ground on evaluation to suit the different workplace interests it represents.

HOW LONG RECORDS WILL BE KEPT BEFORE THEY ARE DESTROYED

This may be dictated by regulations followed by your EAP service provider.

TYPE OF FEEDBACK THAT WILL BE RECEIVED FROM PROGRAM USERS

You may want to provide a mechanism for anonymous user-satisfaction reports to come to your committee. Periodic employee surveys are another option. The EAP committee in cooperation with its service provider(s) should set up a confidential record keeping system that:

- protects the identity of the employee
- facilitates case management and follow-up
- provides ready access to statistical information
- indicates under-utilization by a specific sector or group
- can follow emerging trends or patterns in EAP needs.

Any reports prepared from this information should first be screened by the EAP committee before going to management or the employees.

Step 13. Review and Evaluate

You need to review and evaluate your program regularly to see if it is meeting its objectives.

Your evaluation can be simple or comprehensive. But the more effort you put into it, the more information you will obtain. The information you collect will help keep your program up-to-date and responsive to employee needs. Through evaluation, EAP committee members often gain valuable insights into organizational problems. These can benefit the organization and its employees.

By evaluating your program regularly, you will be able to demonstrate to management and to employees how the program helps.

Evaluation measures the extent to which a program realizes its goals. So, in order to design an evaluation plan for your EAP, it is important that you define your program's goals and criteria for success.

List the major objectives of your program. These may include:

- providing treatment to employees with problems
- reducing absenteeism in the workplace
- improving employee relations.

Then choose an evaluation system that reflects the needs of your program.

There are three major types of evaluation: input, outcome and process evaluation.

INPUT EVALUATION measures whether the plans for your EAP are put into action. For example, your EAP proposal may include a media campaign to increase employees' awareness of the EAP. Was the campaign implemented?

Use the sample form provided to conduct an input evaluation for your EAP's awareness campaign and confidentiality components. For both these components, there are only two possible responses — yes and no. The checklist of components is derived from the EAP policy itself.

OUTCOME EVALUATION attempts to record whether a program achieved its objectives. The crucial question is, "What happens as a consequence of the EAP?" In order to answer this question, you must identify measurable objectives, and then determine whether the EAP has had a measurable impact.

Outcome evaluation is like a mini-scientific study. It requires appropriate study design, sampling methods, sample size and statistics. Most workplaces aren't equipped to conduct this kind of research. But help is available. One resource is the ARF Programs and Services Evaluation Research (PASER) Department in London at (519) 858-5000.

PROCESS EVALUATION examines *how* your program achieves its goals or outcomes. This type of evaluation is particularly useful in identifying unexpected consequences of a program.

Process evaluation often uses employee interviews to obtain descriptive information about how your program works.

For example, you may want to know why supervisors rarely refer an employee to your EAP. Is it because few employees have problems? Or because supervisors didn't receive sufficient training in how to refer an employee? Process evaluation helps you find out.

On TRACK

Speaker Registration Form

NAME: _____

DATE AND TIME OF PRESENTATION: _____

TITLE OF PRESENTATION: _____

BRIEF SUMMARY OF PRESENTATION: _____

_____

_____

PRESENTATION FEE: _____ or donation to: _____ (charitable organization)

AUDIOVISUAL EQUIPMENT REQUIRED: (specify size and type)

Projector: Overhead _____ Record Player _____

Film: 16mm ___ 8mm ___ Cassette Player _____

Slide _____ Blackboard _____

Slide/Tape _____ Flip Chart _____

Video: 3/4" _____ VHS 1/2" _____ Beta 1/2" _____

Other _____

PRINTING NEEDS (handouts) Number of originals _____ Number of each to be printed _____

EQUIPMENT AND SPACE:

Equipment _____

Special Set-up _____

Additional Needs _____

METHOD OF TRANSPORTATION: _____

Cost: _____ Expected date and time of arrival: _____

ACCOMMODATION REQUIRED? _____ Yes _____ No

Date of required accommodation: _____

It is common practice for workshop proceedings to be taped.

Do you consent to the taping of your presentation? _____ Yes _____ No

If circumstances prevent your attendance at the workshop will you provide an alternate speaker?

_____ Yes _____ No

Phone number at which you can be reached prior to the workshop: _____

Your fax number: _____

Signature _____

Notes

Sample Evaluation Forms

SAMPLE INPUT EVALUATION: Are program components correctly implemented?

Some components of a typical EAP policy	*Yes*	*No*
(1) Procedures to ensure employees are aware of the EAP and how to use it		
(a) Letters sent to employees about the EAP	____	____
(b) Posters about the EAP	____	____
(c) Procedures on how to use the EAP included in the employee handbook	____	____
(2) Procedures to protect confidentiality		
(a) All files on referrals destroyed after two years	____	____
(b) Client information to be stored in a secure place	____	____
(c) All treatment conducted off premises	____	____
(d) No records kept for voluntary referrals	____	____
(e) Communication between coordinator and supervisors restricted to work problems	____	____
(f) Information about treatment released only with client's written consent	____	____

SAMPLE OUTCOME EVALUATION

An outcome evaluation can show whether the initial program goals have been achieved. A comparison of baseline (pre-EAP) data (qualitative and quantitative) with post-EAP information is most frequently collected. This procedure requires that information be available from the organization before the EAP was implemented. It often also requires information on employee performance and behavior prior to EAP involvement. All information presented must be aggregate. At times distinct questionnaires need to be developed to measure qualitative factors such as morale. Outcome evaluations are most often presented as a major component of cost-benefit studies. Outcome evaluations can be used to measure change in an entire organization or only among those using the EAP. Outcome evaluations also have their limits as they are not able to explain why changes occurred, as can process evaluations. The following illustrates some basic aspects that an outcome evaluation might cover.

	One-year pre-EAP	*One-year post-EAP*	*Two-year post-EAP*	*Difference* *Year 1*	*Year 2*
Absenteeism	_____	_____	_____	_____	_____
Late check-ins	_____	_____	_____	_____	_____
Accidents	_____	_____	_____	_____	_____
Workers Compensation claims	_____	_____	_____	_____	_____
Grievances	_____	_____	_____	_____	_____
Late assignments	_____	_____	_____	_____	_____
Production rate	_____	_____	_____	_____	_____
Employee morale	_____	_____	_____	_____	_____

SAMPLE PROCESS EVALUATION (see Appendix 15 for another example)

Please circle the number that best describes your degree of agreement for each of the statements about EAPs

	Strongly Agree	*Agree*	*Don't Know*	*Disagree*	*Strongly Disagree*
Our EAP is confidential	1	2	3	4	5
I would use the EAP if I had a problem	1	2	3	4	5
Our EAP is not coercive	1	2	3	4	5
I would recommend the EAP to a friend who had a problem	1	2	3	4	5
Our EAP helps employees	1	1	2	3	4
EAP staff are properly trained	1	2	3	4	5
It is easy to find out how to use the EAP	1	2	3	4	5

Comments? _____

_____

You've followed the 13 steps to creating an EAP that is tailored to your worksite and shares some common principles with other successful programs. We hope that the information provided in this manual has helped to shape a program that will benefit your workplace.

Conclusion and Best Advice

In conclusion — and for the record — here is our best advice on EAPs.

The Addiction Research Foundation recommends that an EAP:

- be developed jointly by the employer and employees
- have written policies and procedures
- address a broad range of problems
- encourage voluntary referrals
- provide for performance-related referrals, preferably through a parallel management intervention program
- be promoted to all employees and eligible family members
- be easily accessible to all employees and eligible family members
- deliver assistance off-site in the community.

Notes

On TRACK

Appendix

Appendix

This appendix includes a discussion of legal and audit issues related to EAPs. We also include additional EAP evaluation forms and other reference materials that you may find useful in building your EAP. Take time to review these materials as a committee.

Legal issues related to EAPs

There are several legal issues to be considered in building an EAP. These notes are meant as a guide to discussion and should *not* be considered legal advice. Workplaces concerned about any specific issue should seek a qualified legal opinion based on their specific circumstances.

DUTY TO ACCOMMODATE

The Ontario Human Rights Commission has identified a number of handicaps, including alcohol or drug dependence, that cannot be used as a basis for action against employees or prospective employees unless the employer has attempted to accommodate the handicap "to the

point of undue hardship" and the employee still cannot meet the essential requirements of the job. Providing help through an EAP is one way that an employer can meet this obligation to accommodate the needs of a handicapped employee.

MANAGEMENT INITIATED REFERRALS

Most collective agreements outline a progressive disciplinary procedure and the right of employees to grieve. Employees in non-organized workforces do not have the right to grieve, but an employee whose job has been unlawfully terminated may sue for wrongful dismissal. In both grievances and wrongful dismissal suits, employers are expected to show that they have made an effort to help the employee to improve his or her performance before terminating employment. For example, the employer can formally refer the employee to an EAP during the disciplinary process. If employers have offered assistance throughout a progressive disciplinary procedure, their actions are more likely to be upheld. Although management can make a referral to an EAP, the employee has the right to accept or reject the offer of assistance. Any subsequent disciplinary action should be based on job performance only.

There are exceptions to this procedure. The employee and his or her union can agree to certain special conditions attached to continued employment. These special conditions of employment usually occur only if grounds for termination based on work performance already exist. Special terms of employment can include conditions relating to the satisfactory completion of a specified treatment program. In this case, failure to comply with these special conditions of employment can be the basis of a termination, apart from other aspects of work performance.

CONFIDENTIALITY

Most EAPs advertise their services as confidential. If this is the expectation of clients, then the disclosure of a client's personal information by EAP staff or volunteers that causes damage to the client can be the basis of a lawsuit. Accidental disclosure could also be the basis of a lawsuit if it could be shown that an EAP was negligent in protecting its records. For these reasons an EAP should take all reasonable precautions to protect the confidentiality of clients using its services.

There are several legal circumstances under which an EAP has an obligation to reveal confidential information about a client. The first is when an EAP professional has reasonable grounds to suspect that child abuse has occured. This suspicion must be reported to the Children's Aid Society. Another circumstance is where an EAP counsellor has reason to believe that a client may harm another person. Under the U.S. legal system, according to the "Tarasoff principle", the counsellor has a duty to warn the potential victim. This rule could apply in Canada. The third situation is when a client is involved in a court case. The court can subpoena the client's EAP records if they are considered relevant to the case. The EAP cannot refuse the subpoena but can try to convince the judge or adjudicator that the files should remain confidential. If the judge or

adjudicator agrees that the harm done to the EAP will be greater than the benefit to the court, he or she may excuse the EAP from having to reveal confidential information.

These situations are not particular to EAPs but apply to all helping services. However, when an EAP advertises its services as confidential, it should point out that there are legal limits to its ability to preserve confidentiality.

LIABILITY FOR SERVICES

EAP service providers have an obligation to provide reasonably competent help. The courts have traditionally used the average "expectation of service" in a given area as a standard. Worksites that provide EAPs should ensure that volunteers and professionals delivering EAP services are trained at least to the level of reasonable expectations. In addition, they may want to require that EAP professionals be protected from loss by carrying liability insurance. These are reasonable precautions even though there have been no cases of legal actions against EAPs reported in Canada to date. In the United States, the number of such cases is increasing.

CONSENT

The courts expect that treatment professionals will provide services only with clients's consent. Your EAP literature should stress that use of the EAP is entirely voluntary, even when it is suggested or recommended by management. If necessary, EAP clients can be asked to sign a form confirming that their use of the program is voluntary.

SUPERVISORY RECORDS

In all cases involving discipline, supervisors will normally file a report to their Human Resources Department that will be placed on the employee's personnel record. If the supervisor has suggested or recommended use of the EAP, this should also be recorded. This may be used to demonstrate the employer's history of involvement with the employee before an adjudicator or court.

In addition to the above situations, there may be times, not involving formal discipline, when a supervisor suggests use of the EAP to an employee whose work performance has been substandard. This information may not be entered on the employee's personnel record.

The following Key Point Summary has been extracted from a presentation on *Substance Abuse in the Workplace: Employer's Obligations.*

1. Intoxication and consumption during working hours is generally grounds for discipline which, depending on the circumstances, may amount to discharge.
2. The Ontario Human Rights Code prohibits discrimination on the basis of handicap.
3. The code imposes on employers a duty to accommodate handicapped persons to the point of undue hardship.
4. The Human Rights Commission takes the position that addiction to alcohol or drugs constitutes a handicap.
5. The Commission suggests that the establishment of an Employee Assistance Program and its application to the addicted employee is one means by which the duty to accommodate will likely be satisfied.

6. An Employee Assistance Program must be triggered by "cause-neutral" conditions such as substandard work performance in order to avoid potential allegations of constructive discrimination.
7. The Commission recognizes a reciprocal obligation on addicted employees to cooperate reasonably and participate in employer attempts to accommodate.
8. In order to justify termination for substandard work performance and/or attendance where the underlying condition is substance abuse, the arbitral trend is to require that employers must have satisfied obligations that mirror those arising out of the Ontario Human Rights Code.
9. One method of insulating the employer and the union from complaints under the Human Rights Code or the Labour Relations Act is to negotiate into the collective agreement language that recognizes that the terms of the collective agreement are subject to obligations arising out of the Human Rights Code. A second method of insulating an employer from both Human Rights Code complaints and adverse arbitration decisions is to implement an EAP which is triggered by cause-neutral events.

For more information on this topic, refer to the *Employee Assistance Law Answer Book* and *Supplement* by Sandra G. Nye JD., MSW, published by *The Panel Answer Book Series*. These books have a U.S. perspective but contain a lot of information relevant to EAPs in Canada.

Auditing EAP Services

FINANCIAL AUDITS

When EAP services are provided internally, either by trained peer referral agents or professionals employed by the workplace, there is usually no need for a financial audit. EAP expenses are clearly identified as such and are self-evident.

However, when EAP services are purchased by contract, some organizations require an audit to determine usage by their employees. In this case, a third party such as an accountant or auditing firm is usually hired to audit the records of the service provider. In order to verify the eligibility of clients using the EAP, the auditor needs to see names of employees who have used the program. However, the auditor is required to protect the confidentiality of program users and should not report names to the employer. If an audit is authorized, employees should be informed in advance that an auditor may see their names associated with the EAP. EAP committees need to be aware of these implications before authorizing a financial audit of their EAP services.

LEGAL AUDITS

Some EAPs have their procedures reviewed by a legal professional to provide advice on legal liability. For more information on this subject, see *Employee Assistance Law Answer Book* and *Supplement* by Sandra G. Nye JD., MSW published by *The Panel Answer Book Series*.

QUALITY CONTROL AUDITS

Regardless of the type of services provided, EAP committee members may want to introduce some quality assurance or quality control procedures. These include:

User Satisfaction Form

Users of EAP services can be provided with a sample confidential user satisfaction form (see page A.17) to complete and return anonymously to the EAP committee when the EAP service has been completed. If the form is simple and the process seen as confidential, then this approach should give the committee a fair assessment of user satisfaction. The process should be explained in advance and employees urged to return completed forms to help the committee to oversee the EAP. The committee could also compare the number of returned forms with the number of users reported by the EAP service providers.

General Employee Survey

An alternate method is to survey the whole workforce periodically. A survey can gauge employees' awareness of the program and their attitudes towards it. Although this method will not reach all users, it can provide the committee with far more information than a simple user satisfaction form. To achieve a high response rate, it is usually best to have the survey conducted by a respected third party. (See Section 12 and other Appendix documents for more on employee surveys.) The cost of a survey in both dollars and employee time needs to be considered.

Clinical Audit

It is possible to arrange for qualified clinicians to visit EAP services and review clinical practices and procedures. In this case, provisions need to be made to protect client confidentiality. If the files contain names (not just file numbers), EAP providers should not show them to a clinical auditor without the written permission of each client. An EAP committee that wishes to conduct a clinical audit of EAP services should arrange to have no names on their EAP files or to have all EAP clients sign release of information forms. This would allow a clinical auditor, who is professionally bound to protect client confidentiality, to review a sample of the files. See the sample consent form in this Appendix.

Identified Clients

A laboratory's testing methods can be evaluated using previously tested samples. In the same way, it is possible to send actors or identified clients through an EAP, providing valuable feedback on EAP procedures and methods. This method cannot be used to measure treatment effectiveness, since the sample size would be too small. If this approach is considered, the EAP provider should be advised in advance, preferably when that a contract is signed or renewed.

EAP Testimonials

Your EAP Committee can consider soliciting testimonials from employees who have used the EAP. Although testimonials are not a scientific evaluation tool, they can enlighten for the committee and assist with EAP promotion.

Work Performance Changes

Most EAP clients refer themselves. However, some are referred by management, due to

identified work performance problems. In the case of a formal management referral, it is possible for management representatives on the EAP committee, or the EAP Coordinator, to arrange with Human Resources to study the employee's work performance before and after using the EAP.

There are a few internal service EAPs, in which the Coordinator has access to information on all employee EAP usage and work performance measures. In this case, the Coordinator can prepare reports not only on the EAP utilization rate but also on any changes in overall performance of employees using the EAP. Computer software programs such as the *EAP Analyst* may be available to assist with this type of EAP audit.

On TRACK

Checklist of EAP Components and Options

Sponsorship/Management Accountability

Joint Committee
- ☐ Employee/management
- ☐ Staff association/management
- ☐ Union/management

OR

Employee/Member Groups
- ☐ Peer committee
- ☐ Union counsellors

OR

Management Only
- ☐ Human Resources
- ☐ Medical Department
- ☐ Occupational Health

OR

Consortium
- ☐ Joint board
- ☐ Umbrella association
- ☐ Single service provider

Focus

- ☐ Narrow: Substance abuse
- ☐ Broad: Personal, social, health and work-related problems
- ☐ Comprehensive: Health promotion, prevention and assistance

Access

- ☐ Voluntary
- ☐ Suggested (peer or supervisor)
- ☐ Formal (management or peer referral)
- ☐ Legislated (required to refer peers or subordinates)

Delivery of Service

Internal
- ☐ Volunteer referral agents
- ☐ Company employed – professional staff

External
- ☐ Contract EAP service provider
- ☐ Fee per client service provider
- ☐ Community health and social services

Location of Services

On Site: ☐ Company provided premises

Off Site: ☐ Company provided premises; rented or owned
- ☐ Service provider premises
- ☐ Community health and social services premises

Program Functions

- ☐ Advisory
- ☐ Management
- ☐ Administration
- ☐ Coordination
- ☐ Consultation
- ☐ Training
- ☐ Monitoring & Evaluation

Service Functions

- ☐ Assessment
- ☐ Counselling
- ☐ Referral
- ☐ Case Mgmt.
- ☐ Follow up
- ☐ Communication
- ☐ Education

EAP Roles

- ☐ EAP Committee
- ☐ Manager
- ☐ Administrator
- ☐ Coordinator
- ☐ Peer referral agent
- ☐ Service provider
- ☐ Community Health & Social Services

Notes

Suggestions for a Policy Statement

The following 11 principles should be accounted for in your policy statement. This text is drawn from existing policies and is intended as a sample.

1. Principles and Intent of the Program

The purpose of the EAP is to help all employees who may develop social or health-related problems that could affect their work performance. The program will provide assistance to employees in obtaining an assessment, counselling and/or referral to treatment for personal problems, provided that the employee is willing to accept help.

2. Direct voluntary access to EAP services should be made clear.

Peers or supervisors can suggest use of the EAP, but this will not be intended as interference in the private lives of employees.

3. Confidentiality

Employees who seek help through the EAP will be assured of confidentiality. No details of a personal nature will be released to anyone without the permission of the employee involved. Records kept for any EAP statistical reports will not have names attached. EAP statistical reports will be aggregate in nature, so that no individual could be recognized.

Work performance records prepared by management — separate from the EAP — will remain part of an employee's personnel record. However, records of participation in the EAP itself will remain confidential.

The policy has no control over the authority of courts of law to subpoena information pertinent to matters before the court at any time, or over legislated requirements for disclosure, such as child abuse.

4. Union/Association and Management Endorsement

The management and union/association recognize that employees may need assistance with personal problems at some point during their working lives. Management recognizes that the support of the employees and their representatives is essential in the development and implementation of an effective EAP. Union/association interest in maintaining members' health and employment can be attained through an effective EAP. The EAP, therefore, provides an area for union representatives and management to work together for the mutual benefit of the employees.

However, this cooperation need not in any way alter management's responsibility or authority, nor the union/association prerogatives as outlined in their collective agreement(s).

5. Benefits and Job Protection

The employer will maintain full job and benefit protection for regular employees in accordance with the collective agreement(s) while they are participating in the EAP, including time off for appointments and follow-up interviews as they apply.

6. Range of Problems Covered by the Program

The EAP is being introduced to assist employees who have personal problems that may affect their work performance. Assistance will be made available for a variety of problems such as physical illness, mental or emotional illnesses, financial, marital or family distress, alcohol or drug abuse, or legal problems.

Assistance will also be made available to immediate family members of employees whose problems could easily affect the employee's well-being.

7. Publicizing the Program to all Employees

It will be the responsibility of the EAP committee to make employees aware of the nature and the purpose of the EAP and how they can make use of it. This will include setting aside a reasonable amount of time for orientation sessions for supervisors and union officers on the application and benefits of the EAP, and telling them how they should communicate this information to employees. The EAP Coordinator or the personnel department will be responsible for maintaining this educational process with new employees, supervisors and union officers.

8. Voluntary Access to the Program

Employees who feel that they have a personal problem are encouraged to seek help through the EAP. Procedures will be put in place to provide employees with access to qualified counsellors.

The employee's decision to seek help voluntarily is to be commended and will not affect an employee's position or future advancement.

9. Informal Referrals to the Program

Supervisory staff, union officers, occupational health staff and fellow employees are encouraged to informally suggest to an employee who seems to be experiencing some personal problems that he or she make use of the services available through the EAP.

Employees should be assured of the confidential nature of the EAP and no record should be kept of the employee's response to an informal referral.

In situations where a supervisor has discussed work performance difficulties with an employee or given a verbal warning or discipline, the supervisor may record that an employee has been informed about the EAP. However, the employee's response to an informal referral will remain confidential.

10. Formal Referrals to Program

Employees may be formally referred to the EAP by management on the basis of a record of deteriorating work performance, as noted by the immediate supervisor. An employee who agrees to participate in the EAP will be expected to cooperate with the recommendation of the treatment professionals to whom he or she is referred. An employee who is formally referred to the EAP will be expected to bring work performance back to an acceptable level within a reasonable period of time.

Neither acceptance nor refusal of a formal referral to participate in the EAP will itself be grounds for disciplinary action. However, if work performance continues to deteriorate, or fails to return to an acceptable level within a reasonable time after a formal referral, then disciplinary procedures as per the collective agreement (or company policy) may be enforced.

11. The EAP Coordinator

The EAP Coordinator will be appointed by the EAP committee with the agreement of all the parties represented on the committee. The Coordinator will be granted time by the employer to perform his/her duties as set out below.

a. Administer and direct the program.
b. Maintain the confidential nature of EAP records.
c. Inform all employees about the EAP.
d. Develop and implement orientation and training seminars for all supervisory staff and union officers as to the use, application and benefits of the EAP.
e. Provide liaison between the EAP and community helping services.
f. Provide periodic reports about the EAP to the EAP committee.

Sample EAP Policy

Preamble

_____ is concerned with the personal well-being of all employees and their families. It is recognized that a wide range of personal problems may have an adverse effect on an employee's well-being and ability to perform his/her duties. Personal problems can include illness (physical or mental), emotional problems, stress, financial, family, marital, legal, or other problems such as substance abuse.

Most human problems can be successfully treated provided they are identified early and appropriate measures are taken to rectify them.

Program Description

_____ EAP is designed to provide accessible, professional, and confidential help to all employees and their family members who are experiencing personal problems, and to help them resolve these problems through a process of assessment, short-term counselling, referral and follow-up. EAP services are free to employees and their families. The program is completely voluntary, and any decision on the part of any employee to seek help will not interfere with position of employment or promotional opportunities, nor reduce the employer's right to impose discipline. An employee may terminate his/her association with the EAP at any time.

It must be recognized that successful resolution of personal problems requires a high degree of personal motivation and cooperation.

As well as providing services to help employees cope with personal problems, the EAP also takes an active role in the wellness of _____ employees by way of providing various workshops and seminars related to family life, stress management, drug and alcohol education, etc.

Referrals

An employee or family member wishing to discuss a personal problem needs only to contact the EAP in order to arrange a mutually-convenient appointment. Appointments can be made at the EAP office or any other agreed-upon location. All contact and discussions pertaining to personal problems will be kept in strictest confidence.

Family members, co-workers, occupational health staff, union representatives, or supervisors may become aware of an employee's personal problem. Any of these individuals may suggest that he/she contact the EAP. Initial contact with the EAP may be made by the second party. A second party may make an appointment for the troubled person with the EAP provided the troubled person is aware of and agrees with this action. Again, all information is treated in the strictest confidence.

The method of intervention and resources to be used are agreed upon by the employee and the EAP counsellor following an analysis of the alternatives.

The EAP must be completely neutral. The EAP is not to be utilized by either Management or Union in grievance hearings or arbitration. An employee participates in the EAP on a strictly voluntary basis.

Responsibilities of the Employer

- To recognize and respect the neutrality of the EAP.
- To actively support the goals of the program by:
  - providing adequate funding to ensure the service of the program
  - providing training for the effective operation of the Employee Assistance Program.

Responsibilities of the Union/Association

- To recognize and respect the neutrality of the EAP.
- To actively support the EAP by:
  - providing representation on the EAP Committee
  - providing opportunities for members to receive information about the EAP at Union functions or other appropriate Union channels
  - encouraging members to participate in the EAP.

Responsibilities of the Program Coordinator

- To develop a code of ethics governing all personnel involved in the program.
- To implement education and prevention programs for the employees of _____.
- To develop a resource bank of appropriate and high quality community resources and treatment facilities.
- To market the EAP among all _____ employee groups in order to develop a high profile within the company.

The Role of the Supervisors

It is the supervisor's role to inform the employee whose personal problem is affecting his/her job performance that confidential assistance is available from the EAP. The employee should be encouraged to seek assistance on an informal basis.

The Role of the Union/Association Representative

The role of the Unions/Associations is to participate in the EAP, to promote awareness of the EAP and where appropriate to encourage the member to take advantage of the EAP services.

Sample Form
Consent to Disclose Information

1. I, _____ request ___ authorize ___ :
(name of client)

2. _____
(name of service provider)

3. To disclose:

_____

_____

4. To:

_____

5. For (purpose of the disclosure):

_____

_____

6. Date: _____

7. Signature of client _____

Sample Questionnaire
To Measure Employee Attitudes and Awareness of Your EAP

This questionnaire seeks to obtain your opinions and suggestions about our EAP at _____ and the type of EAP that might be most valuable to all employees.

1. Before this Survey, had you ever heard of our Employee Assistance Program?
   (circle number of best answer)
   Yes...1 No...2 Uncertain...3

2. In your opinion, has the EAP been good for employees at _____?
   (circle number of best answer)
   Yes...1 No...2 Uncertain...3

3. In your opinion, are there still employees at _____ who could benefit from our EAP?
   (circle number of best answer)
   Yes...1 No...2 Uncertain...3

4. Please rate 1, 2 or 3, all the following services. (1) for most needed by employees,
   (2) for moderately needed, and (3) for not really needed by employees.

   ___ Marriage Counselling
   ___ Family Counselling
   ___ Alcohol Abuse Counselling
   ___ Drug Abuse Counselling
   ___ On-the-job "Stress Problems" Counselling
   ___ Domestic "Stress Problems" Counselling
   ___ Depression Counselling
   ___ Legal Counselling
   ___ Financial Counselling
   ___ Bereavement Counselling
   ___ Pre-retirement "Stress Problems" Counselling
   ___ Other (specify) _____

5. Do you know someone who has used our EAP?
   Yes...1 No...2 Uncertain...3

6. Have you (or a family member) used our EAP?
   Yes...1 No...2 Uncertain...3

	Strongly Disagree	*Disagree*	*Don't Know*	*Agree*	*Strongly Agree*
(a) If I use the EAP, others may find out I have a personal problem.	1	2	3	4	5
(b) Use of the EAP will not affect my job security.	1	2	3	4	5
(c) EAP counsellors do not report any confidential information to the workplace.	1	2	3	4	5
(d) Our joint union-management EAP committee will help ensure program credibility.	1	2	3	4	5
(e) Our EAP has no cost to employees.	1	2	3	4	5
(f) I am satisfied with EAP counsellors' qualifications.	1	2	3	4	5
(g) I am satisfied with the location of EAP services.	1	2	3	4	5
(h) I am satisfied with the hours of service	1	2	3	4	5

8. If you had a personal problem would you use the EAP? (circle number of best answer)

Yes...1 No...2 Uncertain...3

If *no*, or *uncertain*, why?

_____

_____

9. If you have other comments on the issues related to Employee Assistance Programs, please note them in the space provided below:

_____

_____

_____

REMEMBER: DO NOT PLACE YOUR NAME ON THIS QUESTIONNAIRE

Thank you for helping our efforts to enhance our EAP. The data will be used in improving our program.

Sample EAP User Satisfaction Form
To be Completed by Persons Using EAP Services

Your confidential responses will be helpful in evaluating the Employee Assistance Program. Please complete and return in the envelope provided to our EAP Committee.

	Strongly Disagree	*Disagree*	*Don't Know*	*Agree*	*Strongly Agree*
1. I was well informed about the services provided by our Employee Assistance Program.	1	2	3	4	5
2. The EAP helped me with my concerns.	1	2	3	4	5
3. I was satisfied with the professionals to whom I was referred (mark N/A if not referred).	1	2	3	4	5
4. I feel the services were easily accessible to me.	1	2	3	4	5
5. Confidentiality was maintained.	1	2	3	4	5
6. I would recommend the EAP to a fellow employee or family member.	1	2	3	4	5

Comments:

_____

_____

_____

_____

Information about yourself:

Sex: ___ male ___ female

Age: ___ 18–29 ___ 30–45 ___ 46–65

Problem Prevention Strategies and Ideas

Preventive education can complement assistance offered by an EAP. Educational activities can be initiated from many sources. The occupational health department, the union/association, or the safety committees often take major initiatives in this area.

Ideas to promote primary prevention may include:

- Mailing healthy lifestyle information to employee's families at home.
- Displaying lifestyle posters and pamphlets in strategic places.
- Showing films with discussion groups.
- Encouraging "Dialogue on Drinking" programs.
- Distributing information on community services, recreation and education programs.
- Conducting health discussions and programs during work hours on exercises, recreation, obesity, high blood pressure, and related health concerns.
- Promoting "non-smoking weeks" and other healthy lifestyle initiatives.

Planning Workshops or Discussion Groups

When planning EAP orientation or education sessions, you need to consider:

Who will lead the program and give input?

- Their position within or outside the organization
- How close to the peer level they are
- Their credibility
- Their perceived area of expertise
- Their declared goals.

The Program

- Content (is there likely to be any stigma attached?)
- Topics (they need to be catchy)
- Emphasis (keep it topical and personal)
- When and where it takes place (need casual atmosphere)
- Size of groups (small enough for interaction)
- Length of sessions (allow time for discussion)
- Diffusion strategies following the session.

Who will receive the program?

- Their role
- Their expectations and attitudes
- Their past experience
- Their potential use of the information.

Resources

- Films, videotapes (see EAP Resource Directory)
- Pamphlets and posters
- Overheads
- Discussion topics and questions
- Roleplays and skits.

Posters – How to Use Them

- Post them strategically where they get the most exposure
- Post them with care so they will last and look appealing
- Change posters periodically to attract attention
- Most large posters can be obtained free from the Ministry of Health and other government departments (416-327-4327/Health & Welfare Canada 1-800-268-1153)
- Some interesting lifestyle and positive attitude sayings and posters can be purchased for a small fee (Performance Resource Press, 155 W. Big Beaver Rd., Suite 109, Troy, Michigan 48084).

Pamphlets – How to Use Them

- Place an information rack at work entrances and at work stations, if possible — these can be constructed or purchased intact
- Replenish pamphlet supplies so that workers can take some with them
- Pamphlets are available from the ARF, the Cancer Society, Homewood Health Services, the Lung Association, Canadian Mental Health Association and other agencies for distribution
- Keep example copies to use in primary care consultation.

NOTE: It may be wise to create a monthly saying or theme at your work station to attract attention, create interest, and stimulate the need for resources (e.g. *Get Fit Month, Give Up Smoking Month).* Put key pamphlets in with the payroll occasionally to all employees.

Sample Post-Event Evaluation Form
For Use after Employee Education Sessions

Program title _____

Leader _____ Date _____

Please answer the questions below. You need not identify yourself.

How would you rate the following?

	Excellent	*Satisfactory*	*Unsatisfactory*
The leadership	___	___	___
The program content	___	___	___
The visual and audio aids	___	___	___
Other materials	___	___	___
Application to your job	___	___	___
Organization of session	___	___	___
Length of program	___	___	___
The facilities	___	___	___

If any factor is rated "unsatisfactory", please explain:

_____

_____

What did you find most valuable?

_____

_____

What was least valuable to you?

_____

_____

Additional comments:

_____

_____

The Addiction Research Foundation offers
a wide range of workplace materials.

Call 1-800-661-1111 (toll-free North America)
or 1-416-595-6059 (Metro Toronto) to obtain:

The On Track Series

- An *Introduction* to Employee Assistance Programs
- An *Overview* of Employee Assistance Programs
- *Guidelines* to Creating an Employee Assistance Program (manual and video)
- *Resource Directory to EAP*

(Disponible en français)

As well, the ARF's Programs and Services Evaluation Research Department can design and conduct worksite evaluations. For more information, contact PASER at 1-519-858-5000.

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